

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No: To Be Assigned
Applicant: N. Sashinaka et al.
Filed: Herewith
Title: OPTICAL COMMUNICATIONS MODULE AND SUBSTRATE FOR THE SAME
TC/A.U.:
Examiner:

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (RP) submitted herewith. A copy of each of the listed references is also enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Reference WO 2003/019617 is not in the English language, but an English abstract thereof is attached to the copy of the reference submitted herewith, and was cited by a foreign patent office in a counterpart foreign application. A copy of this English language search report, indicating the degree of relevance determined by the foreign patent office is submitted herewith. MPEP Section 609A(3), second paragraph.

MAT-8573US

10/500529
DT15 Rec'd PCT/PTO 01 JUL 2004
PATENT

This Information Disclosure Statement is being filed concurrently with the above-referenced application.

Respectfully submitted,


Lawrence E. Ashery, Reg. No. 34515
Attorney for Applicants

LEA/dlm

Enclosures: PTO Form 1449
(8) References
International Search Report

Dated: July 1, 2004

P.O. Box 980
Valley Forge, PA 19482-0980
(610) 407-0700

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July 1, 2004

I hereby certify that this paper and fee are being deposited, under 37 C.F.R. § 1.10 and with sufficient postage, using the "Express Mail Post Office to Addressee" service of the United States Postal Service on the date indicated above and that the deposit is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Kathleen Libby

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Substitute for Form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	N. Sashinaka et al.
Art Unit	
Examiner Name	
Attorney Docket No.	MAT-8573US

SHEET 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-6,103,398	8/15/2000	Norton et al.	
		US-6,205,274	3/20/2001	Zhou	
		US-2002/0037141	3/28/2002	Miyamoto et al.	
		US-6,445,475	9/3/2002	Okubora et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		EP 1 202 405	5/2/2002	Datalogic S.P.A.		<input type="checkbox"/>
		WO 99/44087	9/2/1999	The Whitaker Corporation		<input type="checkbox"/>
		WO 2003/019617 (English abstract provided)	3/6/2003	Bieck Florian; Schott Glas (DE); Leib Juerger (DE); Zeiss Stiftung		<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

Examiner
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

¹Applicant's unique citation designation number (optional).

²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

⁶Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for Form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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First Named Inventor	N. Sashinaka et al.
Art Unit	
Examiner Name	
Attorney Docket No.	MAT-8573US

SHEET 2 of 2

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		M. Karppinen et al., "Passively Aligned Fiber-Optic Transmitter Integrated into LTCC Module", 2001 IEEE Proceedings 51 st , Electronic Components and Technology Conference, vol. CONF. 51, pages 20-21, May 2001.	<input type="checkbox"/>
		J. Hiltunen et al., "Passive Multimode Fiber-to-Edge-Emitting Laser Alignment Based on a Multilayer LTCC Substrate, 52 nd Electronic Components and Technology Conference 2002, pages 815-820, May 2002.	<input type="checkbox"/>
		International Search Report corresponding to application no. PCT/JP03/14351 dated April 23, 2004.	<input type="checkbox"/>
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¹Applicant's unique citation designation number (optional).

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